

Form PTO-1390		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER K&Y-156
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371			U.S. APPLICATION NO. <b>09/889168</b>
INTERNATIONAL APPLICATION NO. PCT/JP00/01859	INTERNATIONAL FILING DATE March 27, 2000	PRIORITY DATE CLAIMED March 27, 2000	
TITLE OF INVENTION BATTERY		DATE July 11, 2001	
APPLICANT(S) FOR DO/EO/US Hitoshi KATAYAMA			
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(l).</li> <li><input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li><input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li><input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li> <li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li><input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)) (13 pages and 10 sheets of drawings (Figs. 1-13).</li> <li><input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))             <ol style="list-style-type: none"> <li><input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> have been transmitted by the International Bureau.</li> <li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li><input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li><input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p>Items 11. to 16. below concern other document(s) or information included:</p> <ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li><input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li><input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND preliminary amendment.</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li><input checked="" type="checkbox"/> An small entity declaration</li> <li><input checked="" type="checkbox"/> Other items or information:             <ol style="list-style-type: none"> <li>PCT/RO/101</li> <li>PCT/RO/105</li> <li>PCT/ISA/202</li> <li>PCT/ISA/210</li> <li>PCT/ISA/220</li> <li>PCT/IB/301</li> </ol> </li> </ol>			

U.S. Application No. <div style="font-size: 1.5em; font-weight: bold; text-align: center;">09/889168</div>		International Application No. PCT/JP00/01859		Attorney's Docket No. K&Y-156	
				CALCULATIONS	PTO USE ONLY
17.[XX] The following fees are submitted:  Basic National Fee (37 CFR 1.492(a)(1)-(5): Search Report has been prepared by the EPO or JPO . . . . . \$860.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) \$690.00  No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) . . . \$700.00  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . \$1,000.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) . . . \$100.00  <div style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT = \$ 860.00</div>					
Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	4 - 20		x \$ 18.00	\$ 0.00	
Indep. claims	1 - 3		x \$ 80.00	\$ 0.00	
Multiple dependent claim(s) (if applicable)			+ \$ 270.00	\$ 0.00	
TOTAL OF ABOVE CALCULATIONS =				\$ 860.00	
Reduction by 1/2 for filing by small entity, if applicable. (Note 37 CFR 1.27 & 1.28).				\$ 430.00	
SUB TOTAL =				\$ 430.00	
Processing fee \$130.00 for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00	
TOTAL NATIONAL FEE =				\$ 430.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00	
TOTAL FEES ENCLOSED =				\$ 470.00	
				Amount to be refunded:	\$
				charged	\$
<div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> <p>a. [XX] Check in the amount of <u>\$470.00</u> to cover the above fees are enclosed.</p> <p>b. [ ] Please charge my Deposit Account No. <u>111833</u> in the amount of \$_____ to cover the above fees.</p> <p>c. [XX] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>111833</u>.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to review (37 CFR 1.137(a) or (b) must be filed and granted to restore the application to pending status.</p> </div> <div style="width: 35%; text-align: right;"> <div style="font-family: cursive; font-size: 1.2em; margin-bottom: 5px;">Keiko Tanaka Kubovcik</div> <div style="border-top: 1px solid black; margin-bottom: 5px;">Signature</div> <div style="border-top: 1px solid black; margin-bottom: 5px;">Keiko Tanaka Kubovcik</div> <div style="border-top: 1px solid black; margin-bottom: 5px;">Name</div> <div style="border-top: 1px solid black; margin-bottom: 5px;">40,428</div> <div style="border-top: 1px solid black; margin-bottom: 5px;">Registration Number</div> <div style="border-top: 1px solid black; margin-bottom: 5px;">July 11, 2001</div> <div style="border-top: 1px solid black; margin-bottom: 5px;">Date</div> </div> </div> <div style="margin-top: 20px;"> <p>SEND ALL CORRESPONDENCE TO:</p> <p>KUBOVCIK &amp; KUBOVCIK</p> <p>The Farragut Building</p> <p>Suite 710</p> <p>900 17th Street, N.W.</p> <p>Washington, D.C. 20006</p> </div>					

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

Hitoshi KATAYAMA

Attn: Box PCT

International Application No. PCT/JP00/01859

I.A. Filing Date: March 27, 2000

U.S. Serial Number: Not Yet Assigned

Filed: July 11, 2001

For: BATTERY

TRANSMITTAL OF SMALL ENTITY DECLARATION

Assistant Commissioner  
For Patents  
Washington, D.C. 20231

July 11, 2001

Sir:

The applicants claim small entity status as provided under 37 C.F.R. §1.27(a)(2). An executed Small Entity Declaration is attached hereto.

In the event any fees are due in connection with this matter the Commissioner is authorized to debit our Deposit Account No. 111833.

Respectfully submitted,

KUBOVCIK & KUBOVCIK



Keiko Tanaka Kubovcik  
Reg. No. 40,428

Atty. Docket No. K&Y-156  
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Washington, D.C. 20006

Tel: 202-887-9023  
Fax: 202-887-9093

## SMALL ENTITY DECLARATION

APPLICANT OR PATENTEE Hitoshi KATAYAMA

SERIAL NO. \_\_\_\_\_ ☐ PATENT NO. \_\_\_\_\_ DOCKET NO. \_\_\_\_\_

(Check one of blocks 1 or 2)  
1. ☐ FILED OR ISSUED ON \_\_\_\_\_  
2. ☐ SUBMITTED HERewith \_\_\_\_\_

FOR \_\_\_\_\_  
(Insert Title)

I(We) hereby declare that I(we) am(are) entitled to the benefit of small entity status with respect to the above-identified application or patent for purposes of paying reduced fees under 35 USC 41(a) & (b) to the U.S. Patent and Trademark Office.

☐ A. INDEPENDENT INVENTOR(S)  
I (We) qualify as (an) independent inventor(s) as defined in 37 CFR 1.9(c).

☐ B. INDIVIDUAL NON-INVENTOR(S)  
I(We) would qualify as (an) independent inventor(s) as defined in 37 CFR 1.9(c) if I(we) had made the invention.

☐ C. SMALL BUSINESS CONCERN  
I am ☐ THE OWNER ☐ AN OFFICIAL of the small business concern identified below and am empowered to act on behalf of the concern. The concern qualifies under 37 CFR 1.9(d) and 13 CFR 121.1301-1305. Rights under contract or law have been conveyed to and remain with the concern and are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 CFR 1.9.

☐ D. NON-PROFIT ORGANIZATION  
I am an official empowered to act on behalf of the non-profit organization identified below. The organization qualifies under 37 CFR 1.9(e), sub section: ☐ (1) ☐ (2) ☐ (3) ☐ (4). Rights under contract or law have been conveyed to and remain with the organization and are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 CFR 1.9.

I(We) acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I(We) declare under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

A. INDEPENDENT INVENTOR(S)      B. INDIVIDUAL NON-INVENTOR(S)

_____ Name	_____ Signature	_____ Date
_____ Name	_____ Signature	_____ Date
_____ Name	_____ Signature	_____ Date

C. BUSINESS CONCERN

I·D·X COMPANY LTD.

Name of Concern or Organization

Hitoshi KATAYAMA

Name of Person Signing

President

Title

D. NON-PROFIT ORGANIZATION

5-13-1, Shukugawara, Tama-ku,  
Kawasaki-shi, Kanagawa 214-0021 Japan

Address

Signature

July 2, 2001

Date